

Residential (Part 3) Services Checklist

The following services must submit all of the items outlined below. Some services have additional requirements, which are outlined in the “Additional Requirements” section at the end of the document.

- Adult Day Services (level 1)
- Adult Day Services (level 2)
- Adult Day Services (level 3)
- Adult Foster Care
- Caregiver Support Services
- Community Transition Supports
- Family and Caregiver Training Services
- Community Based Habilitation – Group
- Community Based Habilitation – Individual
- Facility Based Habilitation – Group
- Facility Based Habilitation – Individual
- Prevocational Services
- Supported Employment Follow Along
- Rent/Food for Unrelated Live-In Caregiver
- Residential Habilitation and Support - Provider is responsible for providing the following;
 - Residential Habilitation and Supports, Transportation (when greater than 35 hrs/wk of RHS are provided), Health Care Coordination, Community Habilitation
- Residential Living Allowance
- Respite Services
- Electronic Monitoring (See “Additional Requirements” section)
- Facility Based Support Services
- Family and Caregiver Training
- Transportation
- Workplace Assistance

Required Documentation

1. Legal Documents

- Certificate of incorporation/authority from the Secretary of State of Indiana. Sole Proprietorships need only file with the County Recorder’s office;
- Verification of a tax identification number from the Internal Revenue Service;
- Verification of any assumed business names (DBAs), if applicable, from the Secretary of State of Indiana;
- Proof of registration of any assumed business names (DBAs), if applicable, from office of the County Recorder of each county in which a place of business is located.

Contact the office of the Secretary of State at (317) 232-6576 for further information or clarification.
<http://www.in.gov/sos/business/index.htm>

2. Insurance Coverage (460 IAC 6-12-1 and 460 IAC 6-12-2)
All applications must include proof of insurance meeting the minimum requirements outlined in 460 IAC 6.
3. Financial Documentation (460 IAC 6-11-2 and 6-11-3)
 - Current expenses and revenues;
 - Projected budgets outlining future operations (i.e., projected future costs and income/staff and consumer growth);
 - Letter from a financial institution verifying the financial stability of the entity, which must state the ability to obtain a line/letter of credit in the amount of \$35,000, which will allow the entity to deliver services without interruption for at least two (2) consecutive months without payment.
4. Organizational Chart (460 IAC 6-10-6 & 6-16-2)
 - A current organizational chart of agency, including parent and subsidiary corporations, if applicable.
 - List all agency positions, including vacancies.
 - Include a job description for each position;
 - major duties required of the position;
 - responsibilities of the employee in the position;
 - and the name/title of the supervisor to whom the employee in the position must report.
 - Positions should match the positions noted on the organizational chart.
5. Proof of Managerial Ability (460 IAC 6-6-2)
All applications must include supplemental proof that the principal parties involved possess the managerial abilities to deliver requested services and to manage the business aspects of being a provider. The following must be submitted:
 - Resumes;
 - Diplomas/transcripts, if applicable;
 - If the resume reflects a college degree, a copy of diploma and transcript must be included.
 - Training experience/certifications/licensure.
6. Documentation of Criminal Histories (460 IAC 6-10-5)
 - All applications must include documentation of criminal histories meeting the minimum requirements outlined in 460 IAC 6.

Note: Verification from the State Nurse Aide Registry of the Indiana State Department of Health is available on the following website: <https://extranet.IN.gov/Weblookup/Search.aspx>. Go to Regulatory Services, click on Indiana Health Care Providers – Professionals tab, click on Nurse Aide with findings. Print this portion of the list where the individual's name should appear. Print the individual's name with an arrow to the location, then initial and date the print-out.

7. Qualifications (460 IAC 6-5 and 6-14)

- All applications must include evidence that the applicant's employees meet the qualifications for each supported living service for which the applicant is seeking approval to provide.
- See the sections of the DD Waiver Document that address the specific staff's qualifications for each service.

8. Staff Training Curriculum (460 IAC 6-14-4 and 6-16-3)

All applications must include a staff training curriculum/manual that includes training given to staff specifically related to the service(s) provided and for which the applicant is seeking approval to provide.

9. Policies and Procedures Manual – Operations Manual

All applications must include the policies and procedures of the applicant's organization. The following must be included in the policies and procedures of the organization and must meet the minimum standards set forth in 460 IAC 6.

- Code of Ethics (460 IAC 6-14-7 and 460 IAC 6-36);
- Rights of Individuals (460 IAC 6-8);
- Protection of an Individual (460 IAC 6-9-2; 6-9-3; 6-9-4);
- Incident Reporting (460 IAC 6-9-5);
- Transfer of an Individual's Records (460 IAC 6-9-6);
- Notice of Termination of Services (460 IAC 6-9-7);
- General Administrative Requirements for Providers (460 IAC 6-10);
- Transportation of an Individual (460 IAC 6-13-2);
- Personnel Policies (460 IAC 6-16-2; 6-16-3; 6-16-4);
- Maintenance of Records of Services Provided (460 IAC 6-17-2; 6-17-3; 6-17-4);
- Behavioral Support Plan (460 IAC 6-18);
- Training Services, if applicable (460 IAC 6-24);
- Coordination of Health Care (460 IAC 6-25);

10. Quality Assurance and Quality Improvement: (460 IAC 6-10-10)

All applications must include documentation of an internal quality assurance and quality improvement system meeting the minimum requirements outlined in the DD Waiver Document.

11. Proof of National Accreditation

- If applying to provide Day Services (Employment Services) (460 IAC 6-5.29), submit proof of accreditation by (or proof of application to seek accreditation from) one of the following organizations:
 - The Commission on Accreditation of Rehabilitation Facilities (CARF) or its successor;
 - The Council on Quality and Leadership in Supports for People with Disabilities or its successor;
 - The Joint Commission or its successor;
 - The Council on Accreditation (COA) or its successor;
 - The National Commission on Quality Assurance or its successor;

- An independent national accreditation organization approved by the Secretary of FSSA.
- Application for a survey through the accrediting entity for a new service must be submitted within one year of receiving approval.
- The agency must submit to the Bureau of Developmental Disabilities Services proof of application for an accreditation survey, and a copy of the letter from the accrediting entity indicating accreditation for a one (1) to three (3) year period.

Additional Requirements

Some services have additional requirements beyond the 11 items outlined above, as noted by service.

Electronic Monitoring

- Any current BDDS approved provider interested in adding the service of Electronic Monitoring with plans to utilize Rest Assured, Sengistix, and/or Night Owl must submit a request letter identifying their choice of partnership agency.
- Eligibility for this service includes fulfilling the requirements for the Residential Habilitation and Support (RHS) component of Electronic Monitoring.
- Providers are not limited to utilizing the three DDRS recognized agencies, Rest Assured, Night Owl or Sengistix. DDRS/BDDS will consider other technological agencies for partnering with RHS providers.
 - In order to get approval for using an agency other than Rest Assured, Night Owl or Sengistix a provider must get approval from the Director of DDRS.